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CF-16

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant : Philip M. Ginsberg  
Application No. : 10/023,241 Confirmation No.: 3705  
Filed : December 17, 2001  
For : SYSTEMS AND METHODS FOR AUTOMATED  
COMMISSION PROCESSING  
Group Art Unit : 2162

New York, New York  
March 13, 2003

Commissioner for Patents  
P.O. Box 2327  
Arlington, Virginia 22202

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**GROUP 3600**

TRANSMITTAL LETTER FOR  
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is a Supplemental Information Disclosure Statement in the above-identified application. This Statement is submitted:

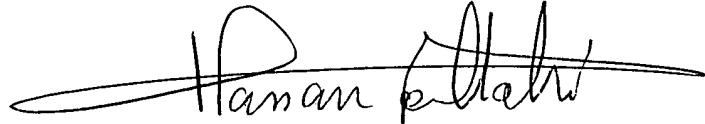
[ ] . within three months of the application filing date;

more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this

Supplemental Information Disclosure Statement to Deposit  
Account No. 06-1075. A duplicate copy of this letter is  
transmitted herewith.

Respectfully submitted,



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Hassan Albakri  
(Limited Recognition)  
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Addressed to:

COMMISSIONER FOR  
PARENTS P.O. BOX 2327  
ARLINGTON, VA 22202 on March 13, 2003

David Santsilvan Goodman

Signature  
Signature of Person Signing



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## PATENT APPLICATION

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,  
applicant wishes to call the attention of the Examiner to the  
following references:

US PATENT APPLICATION PUBLICATIONS

Lutnick et al.	US 2002/0169703 A1	Nov. 14, 2002
Gilbert et al.	US 2003/0018557 A1	Jan. 23, 2003

Copies of the aforementioned references, which are  
listed on the accompanying Form PTO-1449 (submitted in  
duplicate), are enclosed herewith.

Applicant requests that a copy of the Form PTO-1449, as considered and initialized by the Examiner, be returned with the next communication.

Consideration of the foregoing in relation to this patent application is respectfully requested.

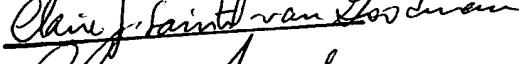
Respectfully submitted,



Hassan Albakri  
(Limited Recognition)  
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BEFORE THE OFFICE OF ENROLLMENT AND DISCIPLINE  
UNITED STATE PATENT AND TRADEMARK OFFICE

**LIMITED RECOGNITION UNDER 37 CFR § 10.9(b)**

Hassan Albakri is hereby given limited recognition under 37 CFR § 10.9(b), as an employee of the law firm of Fish & Neave, to prepare and prosecute patent applications wherein the patent applicant is a client of the law firm of Fish & Neave, and a registered practitioner, who is a member of the law firm of Fish & Neave, is the practitioner of record in the applications. This limited recognition shall expire on the date appearing below, or when whichever of the following events first occurs prior to the date appearing below: (i) Hassan Albakri ceases to lawfully reside in the United States, (ii) Hassan Albakri's employment with the law firm of Fish & Neave, ceases or is terminated, or (iii) Hassan Albakri ceases to remain or reside in the United States on an H-1B visa.

This document constitutes proof of such limited recognition. The original of this document is on file in the Office of Enrollment and Discipline of the U.S. Patent and Trademark Office.

Expires: December 6, 2003

  
\_\_\_\_\_  
Harry I. Moatz  
Director of Enrollment and Discipline

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 <b>FORM PTO-1449</b>	<b>U.S. DEPARTMENT OF COMMERCE</b> <b>PATENT AND TRADEMARK OFFICE</b>  <b>INFORMATION DISCLOSURE</b> <b>STATEMENT BY APPLICANTS</b>	<b>ATTY. DOCKET NO.</b> <b>CF-16</b>	<b>APPLICATION NO.</b> <b>10/023,241</b>
		<b>APPLICANT</b> Philip M. Ginsberg	<b>CONFIRMATION NO.</b> 3705
		<b>FILING DATE</b> December 17, 2001	<b>GROUP</b> 2162

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	US 2002/0169703 A1	11/14/02	Lutnick et al.	705	37	12/18/98
	US 2003/0018557 A1	01/23/03	Gilbert et al.	705	36	07/18/02

## FOREIGN PATENT DOCUMENTS

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**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

**EXAMINER**

**DATE CONSIDERED**

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.